

## **Supplemental Checklist**

**(Accompanies Module 1, Setting Expectations)**

### **Checklist and List of Supporting Documentation for 8(a) Program Application Submission**

#### **Purpose**

This checklist will provide basic guidelines on the attachments that you should submit with your 8(a) program application. It should be reviewed in conjunction with 13 CFR 124.203 and the SBA User Guide for 8(a) Program Initial Applicants ([https://sba8asdb.symplicity.com/downloads/BDMIS\\_UserGuide.pdf](https://sba8asdb.symplicity.com/downloads/BDMIS_UserGuide.pdf)). SBA will keep this information and the information provided on the application confidential to the extent required by the law.

#### **Notarized Authorization Form**

\_\_\_\_\_ Certification for the Receipt of Electronic 8(a)/SDB Information

#### **Form 1010, Section I; Business Profile**

- \_\_\_\_\_ A detailed explanation, including supporting documentation, for each ‘Yes’ response to questions in Section I, if applicable.
- \_\_\_\_\_ Copies of all stock certificates (front and back), stock ledger, buy/sell agreements, transmutation agreements, voting agreements.
- \_\_\_\_\_ Certificate of Good Standing (for Corporations and LLCs, if applicable).
- \_\_\_\_\_ SBA Form 1623, Certification Regarding Debarment, Suspension, and other Responsibility Matters.
- \_\_\_\_\_ Balance sheets and profit and loss statements no older than 90 days and for the preceding three (3) fiscal year-and periods.
- \_\_\_\_\_ Copies of the last three (3) years of applicant firms tax returns and schedules and attachments.
- \_\_\_\_\_ An executed IRS Form 4506, Request for Copy or Transcript of Tax form for firm’s taxes.
- \_\_\_\_\_ Statement of Bonding limit from the firm’s surety, if applicable.

#### **Form 1010, Section II: Business Management & Administration**

- \_\_\_\_\_ A detailed explanation, including supporting documentation, for each “Yes” response to questions in Section II, if applicable.
- \_\_\_\_\_ Articles of incorporation
- \_\_\_\_\_ Operating Agreement
- \_\_\_\_\_ By-laws
- \_\_\_\_\_ Stockholder and Board Member Meeting Minutes
- \_\_\_\_\_ Partnership Agreement
- \_\_\_\_\_ Articles of Organization
- \_\_\_\_\_ Fictitious Business Name filing
- \_\_\_\_\_ Bank signature cards
- \_\_\_\_\_ Copies of the business and special licenses under which the firm operates

\_\_\_\_ Copies of loan agreements, including lines of credit and shareholder loan(s)

### **Form 1010, Section III: Personal Information**

\_\_\_\_ A detailed explanation, including supporting documentation, for each “Yes” response to questions in Section III, if applicable.

\_\_\_\_ A current Personal Finance Statement on SBA Form 413 (no older than 30 days) for applicant **and spouse**, dividing all assets and liabilities as appropriate. If you are married and live in a community property jurisdiction, please provide evidence of which assets and income are community property, and which are separate.

\_\_\_\_ Narrative statement of economic disadvantage.

\_\_\_\_ SBA Form 912, statement of Personal History.

\_\_\_\_ Copies of personal income tax returns (including all schedules and W2 forms) for the two years immediately preceding the application for the individual and spouse, and an executed IRS Form 4506, Request for Copy or Transcript of Tax Form.

\_\_\_\_ Personal Resume, including the education, technical training and business and employment experience (employer’s name, dates of employment and nature of employment), including the individual’s current duties within the applicant firm.

\_\_\_\_ Separate financial statements showing the value of the personal assets and liabilities of each spouse.

\_\_\_\_ For jointly held assets in which the ownership is equally held by both spouses, one half the value of the asset should be listed on each form.

\_\_\_\_ For other shared assets, the value of the percentage of ownership held by each individual should be listed on that person’s form.

\_\_\_\_ If assets listed on a non-disadvantaged spouse’s SBA Form 413 were included on the disadvantaged spouse’s SBA Form 413 and would cause the disadvantaged spouse to exceed the \$250,000 net worth limitation for economic disadvantage, the applicant must provide:

\_\_\_\_ In **non-community property states**, documentation of the non-disadvantaged spouse’s ownership such as bank statements, brokerage account statements, deeds and titles to vehicles.

\_\_\_\_ In **community property states**, the applicant also must file (1) evidence of each individual’s community property and separate property and (2) if an interest in community property would cause the disadvantaged spouse’s net worth to exceed the limitation for economic disadvantage, evidence that the disadvantaged spouse has waived enough of his or her interest in the community property (that is, through a transmutation agreement) that his or her net worth does not exceed the limitation for economic disadvantaged. (Transmutation agreement not required to prove disadvantaged spouse’s 50% ownership of applicant concern if his or her combined separate and community property interests in applicant concern totaled at least

51%.)

\_\_\_\_ Property that is not community property must be shown on SBA Form 413 as the separate property of the owning spouse.